

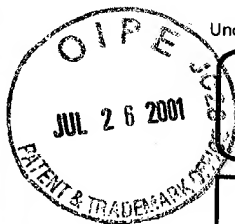
#3
Attorney Docket No.: 19916-003800US
Client Ref. No.: 0009

PTO/SB/01A (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 09/784,866, filed on February 15, 2001,
- ☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/ we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Stephen A. Empedocles Date: _____

Signature: _____ Citizen of: United States

Inventor two: Andrew R. Watson Date: Feb. 6-14-01

Signature: A.R. Watson Citizen of: United Kingdom

☐ Additional inventors are being named on _____ additional form(s) attached hereto.

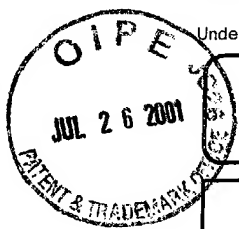
Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
SF 1190442 v1

Attorney Docket No.: 19916-003800US
Client Ref. No.: 0009

PTO/SB/01A (10-00)

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All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Stephen A. Empedocles

Date: 6/15/01

Signature: [Signature]

Citizen of: United States

Inventor two: Andrew R. Watson

Date: _____

Signature: _____

Citizen of: United Kingdom

☐ Additional inventors are being named on _____ additional form(s) attached hereto.

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SF 1190442 v1



Please type a plus sign (+) inside this box → +

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PTO/SB/81 (10-00)
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POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/784,866
Filing Date	February 15, 2001
First Named Inventor	Empedocles, Stephen A.
Group Art Unit	1645
Examiner Name	Not Yet Assigned
Attorney Docket Number	19916-003800US

I hereby appoint:

☐ Practitioners at Customer Number
OR

20350

Place Customer
Number Bar Code
Label here

☒ Practitioner(s) named below:

Name	Registration Number
Jeffry S. Mann	42,837
Eugenia Garrett-Wackowski	37,330
Kenneth Barovsky	36,442

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.
OR

<input type="checkbox"/> Firm or Individual Name	Jeffry S. Mann, Esq.				
Address	Townsend and Townsend and Crew LLP				
Address	Two Embarcadero Center, 8th Floor				
City	San Francisco	State	CA	ZIP	94111-3834
Country	United States				
Telephone	(415) 576-0200	Fax	(415) 576-0300		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Kenneth Barovsky, Vice President and Intellectual Property Counsel
Signature	
Date	22 JUN 01

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
SF 1190475 v1



H-A

0340

PTO/SB/96 (08-00)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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Attorney Docket No. 19916-003800

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Quantum Dot Corporation

Application No./Patent No.: 09/784,866

Filed/Issue Date: February 15, 2001

Entitled: SINGLE TARGET COUNTING ASSAYS USING SEMICONDUCTOR NANOCRYSTALS

Quantum Dot Corporation

a California corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

22 Jun 01

Date

Kenneth Barovsky

Signature

Kenneth Barovsky, Ph.D.

Typed or printed name

Vice President and Intellectual Property Counsel

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1156837 v1

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, STEPHEN A. EMPEDOCLES, of 2507 Mardell Way, Mountain View, CA 94043; ANDREW R. WATSON, of 1 Spring Lane, Belmont, CA 94002; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SINGLE TARGET COUNTING ASSAYS USING SEMICONDUCTOR NANOCRYSTALS

Date(s) of execution of Declaration: June 15, 2001 and June 14, 2001,
respectively

Filing Date: February 15, 2001

Application No.: 09/784,866; and

WHEREAS, Quantum Dot Corporation, a California corporation, located at 26136 Research Road, Hayward, CA, 94545, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8th Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 6/15/01


STEPHEN A. EMPEDOCLES

Dated: _____

ANDREW R. WATSON

19916-003800US

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, STEPHEN A. EMPEDOCLES, of 2507 Mardell Way, Mountain View, CA 94043; ANDREW R. WATSON, of 1 Spring Lane, Belmont, CA 94002; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SINGLE TARGET COUNTING ASSAYS USING
SEMICONDUCTOR NANOCRYSTALS

Date(s) of execution of Declaration: June 15, 2001 and June 14, 2001,
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Application No.: 09/784,866; and

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For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

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IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: _____

STEPHEN A. EMPEDOCLES

Dated: 6-14-01

A.R. Watson

ANDREW R. WATSON